




**PATENT**  
**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

 June 23, 2004  
Jane A. Walker Date

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Serial No.: 10/751,232  
Conf. No.: 2153 *IPF*  
Filed: January 2, 2004  
Group Art Unit: 1642  
Examiner: Unknown  
Applicants: Achilefu et al.  
Title: **LIGHT SENSITIVE COMPOUNDS FOR INSTANT  
DETERMINATION OF ORGAN FUNCTION**  
Attorney Reference No.: MRD-57CP

Cincinnati, Ohio 45202

June 23, 2004

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**PETITION WITH STATEMENT OF FACTS IN SUPPORT OF FILING ON  
BEHALF OF NONSIGNING INVENTORS  
AND DECLARATION OF PROPRIETARY INTEREST (37 CFR §1.47)**

This Statement is made as to the pertinent facts that are relied upon to establish the diligent effort made to secure the execution of the Declaration by the nonsigning inventors, and to establish the proprietary interest of the entity to whom the application is to be assigned, for the above-identified patent application.

Applicant respectfully requests grant of this Petition because the

06/28/2004 GWORDOF1 00000028 10751232

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130.00 DP

nonsigning inventors' refusal to execute the Declaration and Assignment without payment of consulting fees amounts to a refusal to sign, in view of the Assignee's policy not to compensate former employees for such tasks.

The Statement of Facts is being made by the available persons having first-hand knowledge of the facts recited therein. The Declaration is being made by an attorney at law familiar with the law of the jurisdiction and having first hand knowledge of the facts.

#### **IDENTIFICATION OF PERSONS MAKING THE STATEMENT OF FACTS**

Anthony R. Kinney, Esquire, Patent Attorney  
Tammy Torres, Senior Intellectual Property Paralegal  
Mallinckrodt Inc.  
675 McDonnell Boulevard  
St. Louis, Missouri 63134

#### **IDENTIFICATION OF PERSON MAKING THE DECLARATION**

Anthony R. Kinney, Esquire, Patent Attorney  
Mallinckrodt Inc.  
675 McDonnell Boulevard  
St. Louis, Missouri 63134

#### **LAST KNOWN ADDRESS OF THE NONSIGNING INVENTORS**

1. Samuel Achilefu, Ph.D.  
3424 San Seville Court  
St. Louis, Missouri 63044
2. Hermo N. Jimenez  
6534-B Serenity Circle  
Hazelwood, Missouri 63042

## **STATEMENT OF FACTS**

The nonsigning inventors are former employees of Mallinckrodt Inc., to whom the invention will be assigned.

The first nonsigning inventor's (Achilefu) reason for refusing to sign the Declaration is Mallinckrodt's refusal of his request for compensation, in the form of consulting fees of \$150 per hour, for review and execution of formal documents. It is Mallinckrodt's policy not to compensate former employees for review and execution of documents to be submitted to the United States Patent and Trademark Office arising from their employment.

The second nonsigning inventor's (Jimenez) reason for refusing to sign the Declaration is Mallinckrodt's inability to locate this inventor.

The following statement is supported by Attachment A, Memo from Anthony R. Kinney, Esquire, patent attorney for Mallinckrodt Inc. at the relevant time.

**STATEMENT OF FACTS BY  
ANTHONY R. KINNEY, ESQUIRE**

I was the patent attorney for Mallinckrodt at the relevant time.

I called Dr. Achilefu, the nonsigning inventor, on March 5, 2004, regarding execution of the Declaration, Assignment, and Power of Attorney documents, already in Dr. Achilefu's possession for another pending U.S. Patent Application Serial No.10/680,338. I inquired about Dr. Achilefu's request to receive consulting fees for reviewing and executing these documents, and informed Dr. Achilefu that Mallinckrodt's policy was not to pay consulting fees for executing formal documents to inventors that were no longer employees.

Dr. Achilefu indicated that he was not refusing to execute these documents outright, but nevertheless would not execute these documents without being paid consultation fees for the time he spends reviewing and executing the paperwork.

I stated that Mallinckrodt must then file these documents with a Petition describing Dr. Achilefu's refusal to sign. Dr. Achilefu stated that he would file a letter in the Patent Office in order that his reasons for refusing to execute the declaration are on record.

Based on Dr. Achilefu's comments and position with regard to U.S. Patent Application Serial No.10/680,338, I did not further pursue his execution of the same documents for the current application.

  
Anthony R. Kinney, Esquire

6/2/04  
Date

**DECLARATION OF ANTHONY R. KINNEY, ESQUIRE**

I, Anthony R. Kinney, declare as follows:

(1) I was the patent attorney for Mallinckrodt Inc. at the relevant time.

(2) The parent application, U.S. Serial Number 09/688,942, of the above-referenced application names five inventors: Samuel Achilefu, Hermo N. Jimenez, Raghavan Rajagopalan, Richard B. Dorshow, and Joseph E. Bugaj. The application is assigned to Mallinckrodt Inc. The Assignment was executed when the application was filed on October 16, 2000, and is Recorded at Reel 11253, Frame 585-590.

(3) The above referenced application is a Continuation-In-Part (U.S. Serial No. 10/751,232) of the pending application. The Continuation-In-Part includes the above-named five inventors and adds Muthunadar P. Periasamy as an inventor. All of the inventors except Dr. Achilefu and Mr. Jimenez have assigned their rights in this invention to Mallinckrodt Inc.

(4) Mallinckrodt Inc. has a proprietary interest in the 10/751,232 application at least because of its relationship with the parent application, U.S. Serial Number 09/688,942, assigned to Mallinckrodt.

(5) In my opinion, these facts support the conclusion that a court would award title to Mallinckrodt Inc.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the subject application or any patent issued thereon.

6/2/04  
Date

Anthony R. Kinney  
Anthony R. Kinney, Esquire

The following statement is supported by Attachments B, C, D, E, and F (Attachment B, February 17, 2004 e-mail from Dr. Achilefu to Tammy Torres, Mallinckrodt's Senior Paralegal for Intellectual Property; Attachment C, February 27, 2004 e-mail from Tammy Torres to Dr. Achilefu, and Dr. Achilefu's February 29, 2004 response to Ms. Torres; Attachment D, February 5, 2004 web search printout for address and phone number; Attachment E, February 5, 2004 letter to Dr. Jimenez and returned envelope; Attachment F, February 23, 2004 e-mail from Dr. Achilefu to Tammy Torres and Ms. Torres's response).

**STATEMENT OF FACTS BY  
TAMMY TORRES**

I am the Senior Paralegal for Intellectual Property at Mallinckrodt Inc.

On February 17, 2004, Dr. Achilefu indicated receipt of the Declaration and Assignment for another pending U.S. Patent Application Serial No. ~~10/680,338~~ <sup>251,232</sup> and his willingness to review and execute the documents. He stated that his consultation rate was \$150 per hour and questioned to whom he should bill his time or, alternatively, that notification of the filing status of the application would suffice so that his execution of the Declaration would not be required.

On February 27, 2004, I reminded Dr. Achilefu of the outstanding application, and requested his return of the executed documents by the due date.

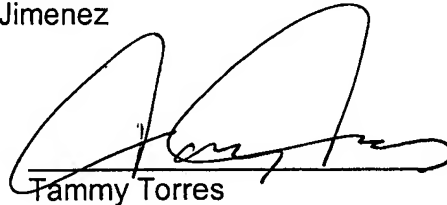
On February 29, 2004, Dr. Achilefu indicated changed circumstances making his time "extremely valuable". While insisting that his actions were not a refusal to execute the Declaration, he nevertheless indicated that he would not do so without compensation.

As of March 29, 2004, Dr. Achilefu had not responded to our request to execute the documents. Based on Dr. Achilefu's comments and position with regard to U.S. Patent Application Serial No. 10/680,338, no further attempts were made to pursue his execution of the same documents for the current application.

On February 5, 2004 I performed a web search to obtain <sup>Mr.</sup> ~~Dr.~~ Jimenez's current address and phone number. I was unable to reach via telephone as the number had been disconnected. The letter sent via Priority Mail

the same day was returned, as the forwarding time had expired. No forwarding address was provided by the U.S. Postal Service.

On February 23, 2004 I received e-mail from Dr. Achilefu with Dr. Jimenez's current e-mail address. However, the address provided is no longer working and I was unable to locate <sup>Mr.</sup> Dr. Jimenez



Tammy Torres

8 Jun, 2004  
Date

Enclosed is a check in the amount of \$130.00, the fee for submission of this Petition pursuant to 37 CFR §1.17(h). Applicant does not believe any other fee is due with this submission. However, if any other fees are deemed due, the Examiner is authorized to charge such fees to Deposit Account No. 30-2300.

Respectfully submitted,

WOOD, HERRON & EVANS, L.L.P.

By: Beverly A. Lyman  
Beverly A. Lyman, Ph.D.  
Reg. No. 41,961

WOOD, HERRON & EVANS, L.L.P.  
2700 Carew Tower  
Cincinnati, Ohio 45202  
513 241 2324  
513 421 7269 - facsimile

Teleconference Memo  
March 5, 2004  
Case No. 1520.1

Subject: Teleconference With Dr. Samuel Achilefu regarding Signing Patent Documents

1. I spoke with Dr. Achilefu on March 5, 2004 about his execution of the declaration, assignment, and power of attorney documents for Case No. 1520.1 and its related foreign application. I informed Dr. Achilefu that I had inquired about his request that he receive consulting fees for reviewing and executing patent documents that are to be filed in the Patent Office. I further informed him that Mallinckrodt will not pay consulting fees to inventors that are no longer employees of the company for executing formal papers.
2. Dr. Achilefu stated that while he is not refusing to sign the paperwork outright, he will not sign the papers without being paid consultation fees for the time he spends reviewing and executing the paperwork.
3. I stated that Mallinckrodt would then have to file the documents with a petition describing Dr. Achilefu's refusal to sign the declaration. Dr. Achilefu stated that he would file a letter in the Patent Office in order that his reasons for refusing to execute the declaration are on record.

Anthony R. Kinney

  
ATTACHMENT "A"

-----Original Message-----

**From:** achilefus@mir.wustl.edu [mailto:achilefus@mir.wustl.edu]  
**Sent:** Tuesday, February 17, 2004 9:16 AM  
**To:** tammy.torres@tycohealthcare.com  
**Subject:** Patent applications

Hi Tammy,

Life has been very busy here and I returned to St. Louis last week. I received the patent applications and related documents for my signature. I will be glad to review them and sign. Who should I bill my time for consultation on these activities? My rate is \$150.00/hour. I hate to sign things without reading them and it takes time to make sure that the documents are technically correct. Alternatively, I learnt that you can file the applications without all inventors signature. In that case, notifying me of the filing status will suffice.

Thanks,  
Sam

\*\*\*\*\*

\*

Samuel Achilefu, PhD  
Associate Professor of Radiology  
Department of Radiology  
Washington University School of Medicine  
Campus Box # 8225  
4525 Scott Avenue - East Building  
St. Louis, MO 63110

achilefus@mir.wustl.edu  
314 362 8599(voice)  
314 790 5868 (pager)  
314 747 5191 (fax)

ATTACHMENT "B"

-----"Torres, Tammy A" <Tammy.Torres@TycoHealthcare.com> wrote: -----

To: "achilefus@mir.wustl.edu" <achilefus@mir.wustl.edu>  
From: "Torres, Tammy A" <Tammy.Torres@TycoHealthcare.com>  
Date: 02/27/2004 12:07PM  
Subject: Patent case no. 1520.1 US "Novel Dyes for Organ Function Monitoring"

Dear Sam,

Would it be possible to get the signed documents signed, notarized and back to me by next Monday or Tuesday? They are due to the Patent office by March 5.

Thanks a bunch.

Best Regards,

Tammy

Tammy Torres

Senior Paralegal - Intellectual Property

Tyco Healthcare/Mallinckrodt

675 McDonnell Boulevard

P.O. Box 5840

St. Louis, MO 63134

Phone: 314-654-3016

Fax: 314-654-3156

████████████████████ ■

ATTACHMENT "C"

**From:** "Kinney, Anthony R" <Anthony.Kinney@TycoHealthcare.com>  
**To:** "Kinney, Anthony R" <Anthony.Kinney@TycoHealthcare.com>  
**Date:** 3/8/2004 11:20:44 AM  
**Subject:** RE: Patent case no. 1520.1 US "Novel Dyes for Organ Function Monitoring"

-----Original Message-----

**From:** achilefus@mir.wustl.edu [mailto:achilefus@mir.wustl.edu]  
**Sent:** Sunday, February 29, 2004 8:52 PM  
**To:** Torres, Tammy A  
**Cc:** 'achilefus@mir.wustl.edu'; Boone, Jeffrey S  
**Subject:** Re: Patent case no. 1520.1 US "Novel Dyes for Organ Function Monitoring"

Dear Tammy,

I understand your urgency in getting the documents signed and notarized. As you know, I have actively cooperated with Mallinckrodt, Inc. to expedite these matters in the past. On some occasions, I personally hand-delivered the executed documents to you in person. In all these times, I have not asked Mallinckrodt to compensate me for my time. However, things have changed and my time is extremely valuable these days. Particularly, if I have to spend family time performing any work outside my current responsibilities at Washington University or career-related activities, I request that I be compensated for my time.

Patent applications are legal documents and you have asked me to review and them for accuracy and completeness before signing. Additionally, I will be acknowledging that I have reviewed and understood the contents of the applications when I sign them. For legal reasons, I have to satisfy these requirements and it simply takes time. In the past, I have spent personal time reviewing similar documents without asking for compensation but I want everyone to respect my time. What you ask me to do falls under consultation.

Please note that I am NOT REFUSING to sign but insist that I be paid for my time, based on principle. If you agree to this condition, please advise so that I can work on the documents Monday night and return them to you on Tuesday.

Samuel Achilefu

\*\*\*\*\*

\*\*\*

Samuel Achilefu, PhD  
Associate Professor of Radiology  
Department of Radiology  
Washington University School of Medicine  
Campus Box # 8225  
4525 Scott Avenue - East Building  
St. Louis, MO 63110

achilefus@mir.wustl.edu  
314 362 8599 (voice)  
314 790 5868 (pager)  
314 747 5191 (fax)

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## SEARCH RESULTS for: [HERMO JIMENEZ]

### Possible Name Combinations

HERMO JIMENEZ

H N JIMENEZ

HERMO

**Total**

**Total Matches**  
1  
26  
46  
73

*disconnected*

### HERMO JIMENEZ - 1 Matches

Name	Address	Phone Number	Background Check	Satellite Photo	Birth Da
1. HERMO JIMENEZ	145 HOBART ST RIDGEFIELD PARK NJ 07660	(201) 641-7587	Available	Available	

*2012 33-  
→ 2023  
W.D.  
H.F.*

### H N JIMENEZ - 26 Matches

Name	Address	Phone Number	Background Check	Satellite Photo	Birth Da
2. H N JIMENEZ	1211 VANDIVER DR G COLUMBIA MO 65202		Available	Available	May 1959
3. H N JIMENEZ	2216 SANTA BARBARA ST LAREDO TX 78043		Available	Available	May 1980
4. HEATHER N JIMENEZ	5350 RED CREEK SPRINGS RD PUEBLO CO 81005	(719) 560-0693	Available	Available	August 19
5. HEATHER N JIMENEZ	5350 RED CREEK SPRINGS RD PUEBLO CO 81005	(719) 560-0693	Available	Available	November
6. HEATHER N JIMENEZ	5350 RED CREEK SPRINGS RD PUEBLO CO 81005	(719) 564-3504	Available	Available	August 19
7. HEATHER N JIMENEZ	5350 RED CREEK SPRINGS RD PUEBLO CO 81005	(719) 564-3504	Available	Available	1974
8. HECTOR N JIMENEZ	1301 LOMA VISTA DR HOLLISTER CA 95023	(831) 637-3711	Available	Available	1968
9. HECTOR N JIMENEZ	553 ELM ST SAN CARLOS CA 94070	(650) 610-8772	Available	Available	

ATTACHMENT "D"

**tyco**

**Healthcare**

**Mallinckrodt**

**Mallinckrodt Inc.**

675 McDonnell Boulevard

P.O. Box 5840

St. Louis, Missouri 63134

USA

Direct Dial: (314) 654-3016

Facsimile: (314) 654-3156

E-Mail: tammy.torres@Tycohealthcare.com

5 February, 2004

Mr. Hermo N. Jimenez  
145 Hobart St.  
Ridgefield Park, NJ 07660

RE: Patent Application for:

File No.:

1518.1 US

Title:

LIGHT SENSITIVE COMPOUNDS FOR INSTANT  
DETERMINATION OF ORGAN FUNCTION

Dear Hermo:

Enclosed please find the application enclosed related to the subject case. Please review the application for accuracy and completeness. If the application is in proper form, please sign and date the Declaration and Assignment where indicated in blue ink. Please note that the Assignment must be executed before a notary. We will gladly reimburse you for any cost incurred in obtaining the service. Enclosed is a self addressed stamped envelope for returning the documents.

**Please note that these documents need to be submitted by March 5, 2004.**

Thank you in advance for your assistance.

Sincerely,



Tammy A. Torres

Senior Intellectual Property Paralegal

Enclosures

ATTACHMENT "E"

rodt Inc.  
Donnell Boulevard  
5840  
s, MO 63134



**FORWARDING  
TIME EXPIRED**

Mallinckrodt Inc.  
675 McDonnell Boulevard  
P.O. Box 5840  
St. Louis, MO 63134

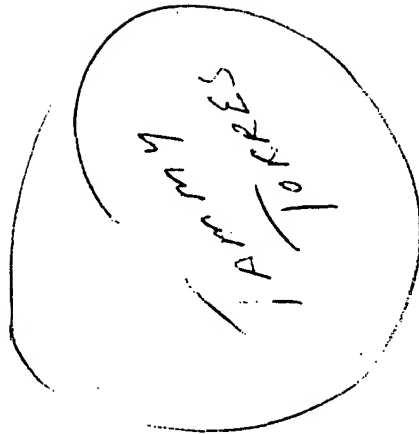
**tyco**

**Healthcare**

**Mallinckrodt**

Mr. H. N. Jimenez

145 Hobart  
Ridgefield Park, NJ  
07660



BEST AVAILABLE COPY

**tyco**

**Healthcare**

**Mallinckrodt**

**Torres, Tammy A**

**From:** Torres, Tammy A  
**Sent:** Tuesday, February 24, 2004 7:15 AM  
**To:** 'achilefus@mir.wustl.edu'  
**Subject:** RE: Patent applications

Dear Sam,

The e-mail address you provided for Hermo is not working. Could you please make sure all characters are correct?

Thanks a bunch.

Tammy

-----Original Message-----

**From:** achilefus@mir.wustl.edu [mailto:achilefus@mir.wustl.edu]  
**Sent:** Monday, February 23, 2004 2:48 PM  
**To:** Torres, Tammy A  
**Cc:** Boone, Jeffrey S  
**Subject:** RE: Patent applications

Tammy,  
 Here's Hermo's e-mail address:

hnj <jimenez\_h@yahoo.com>

-Sam

\*\*\*\*\*

Samuel Achilefu, PhD  
 Associate Professor of Radiology  
 Department of Radiology  
 Washington University School of Medicine  
 Campus Box # 8225  
 4525 Scott Avenue - East Building  
 St. Louis, MO 63110

achilefus@mir.wustl.edu  
 314 362 8599(voice)  
 314 790 5868 (pager).  
 314 747 5191 (fax)

"Torres, Tammy A" <Tammy.Torres@TycoHealthcare.com>

"Torres, Tammy A"  
 <Tammy.Torres@TycoHealthcare.com>  
 02/23/2004 06:22 AM

To: "achilefus@mir.wustl.edu"  
 <achilefus@mir.wustl.edu>  
 cc: "Boone, Jeffrey S"  
 <Jeffrey.Boone@TycoHealthca

2/24/2004

ATTACHMENT "F"

**Torres, Tammy A**

---

**From:** achilefus@mir.wustl.edu  
**Sent:** Monday, February 23, 2004 2:48 PM  
**To:** Torres, Tammy A  
**Cc:** Boone, Jeffrey S  
**Subject:** RE: Patent applications

Tammy,  
Here's Hermo's e-mail address:

hnj <jimenez\_h@yahoo.com>

-Sam

\*\*\*\*\*

Samuel Achilefu, PhD  
Associate Professor of Radiology  
Department of Radiology  
Washington University School of Medicine  
Campus Box # 8225  
4525 Scott Avenue - East Building  
St. Louis, MO 63110

achilefus@mir.wustl.edu  
314 362 8599(voice)  
314 790 5868 (pager)  
314 747 5191 (fax)  
"Torres, Tammy A" <Tammy.Torres@TycoHealthcare.com>

"Torres, Tammy A"	To: "achilefus@mir.wustl.edu"
<Tammy.Torres@TycoHealthcare.com>	<achilefus@mir.wustl.edu>
	cc: "Boone, Jeffrey S"
	<Jeffrey.Boone@TycoHealthcare.com>
02/23/2004 06:22 AM	Subject: RE: Patent applications

Dear Sam,

Thank you for your e-mail. I understand your concerns and am waiting for approval from Jeff on the charges. Should not be a problem. I will advise shortly.

By chance do you have a current address for Mr. Hermo Jimenez?

Thank you very much.

Tammy

2/24/2004